

Country: US
Application No.: TBA
Filing Date: August 1, 2003
Inventor: Ronald D. Rudkin, Ph.D.
Title: SYSTEM AND METHOD FOR DETERMINING THE COST,
VALUE AND EXERCISE OF EMPLOYEE STOCK OPTIONS
Atty Docket No.: 004344-294-CIP



CERTIFICATE OF "EXPRESS MAILING"

"EXPRESS MAIL" Mailing Label Number: EL 889409731 US

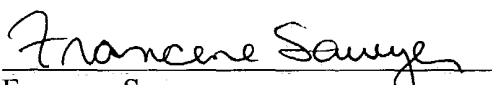
Deposited: August 1, 2003

I hereby certify that this and the enclosed paper(s) and/or fee(s) is/are being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Submitted herewith are the following items:

1. Utility Patent Application Transmittal in duplicate (6 pages);
2. Continuation-In-Part Patent Application of Rubin D. Rudkin, Ph. D. (51 pages);
3. This Certificate of Express Mailing bearing Express bearing the Express Mailing Label No. and deposit date stated above (1 page); and
4. Return Receipt Postcard.

TOTAL PAGES IN THIS SUBMISSION: 58 + postcard


Francene Sawyer

Application Transmittal
PATENT

**UTILITY PATENT
APPLICATION
TRANSMITTAL**

*(Only for new nonprovisional
applications under 37 CFR 1.53(b))*

Attorney Docket No.
First Named Inventor
Express Mail Label No.
Total Pages

004344-294-CIP
Ronald D. Rudkin, Ph.D.
EL 889409731 US
3

BY EXPRESS MAIL – Label No. EL 889409731 US

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed herewith for filing is a patent application of Ronald D. Rudkin, Ph.D. entitled
"SYSTEM AND METHOD FOR DETERMINING THE COST, VALUE AND EXERCISE OF
EMPLOYEE STOCK OPTIONS" which includes:

- | | |
|---|--|
| <input checked="" type="checkbox"/> Specification | <input checked="" type="checkbox"/> [37] Total Pages |
| <input checked="" type="checkbox"/> Claims | <input checked="" type="checkbox"/> [10] Total Pages |
| <input checked="" type="checkbox"/> Abstract | <input checked="" type="checkbox"/> [1] Total Pages |
| <input checked="" type="checkbox"/> Drawing(s) | <input checked="" type="checkbox"/> [3] Total Sheets |
| ___ formal | |
| <u>3</u> informal | |
- ☐ Combined Declaration and Power of Attorney ___ Total Pages
- ☐ Newly executed (original or copy)
- ☐ Copy from a prior application (for continuation/divisional only – **must be filed to avoid surcharge for late filing**)

If a continuing application, check appropriate box:

- ☐ Continuation ☐ Divisional
- ☒ Continuation-In-Part of prior application No. 10/601,122 filed June 20, 2003.

☐ Amend the specification by inserting, before the first line, the following sentence:
"This is a ☐ continuation ☐ divisional ☐ continuation-in-part of copending
application Serial No. _____ filed _____."

- ☐ An Assignment of the invention to
- ☐ is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.11 is included.
- ☐ will follow.
- ☐ has been filed in the prior application

☒ Small Entity Status is hereby claimed.

Application Transmittal
PATENT

Attorney Docket No. 004344-294-CIP

- ☐ Information Disclosure Statement (IDS) PTO-1449
☐ Copies of IDS Citations
- ☐ Request and Certification for Non-publication under 35 U.S.C. 122(b)(2)(B)(i) **ENCLOSED.**
- ☐ Request to Rescind previous Non-publication Request under 35 U.S.C. 122(b)(2)(B)(ii) **ENCLOSED.**
- ☐ Request for Redacted Publication under 35 U.S.C. 122(b)(2)(B)(v) and the Redacted Publication **ENCLOSED.**
- ☐ Request for Early Publication under 35 U.S.C. 122(b)(1)(A) **ENCLOSED.**
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard
- ☒ Other: Certificate of Express Mailing.
- ☐ Cancel in this application original claims of the prior application before calculating the filing fee.

The Fee has been calculated as shown below:

FOR	(Col. 1) No. Filed					(Col. 2) No. Extra					OR	Other than a small entity				
Small Entity																
Rate												Rate				Fee
Basic Fee																750.00
Total Claims	38	-	20	=	180	X	9	=				X	18	=		.00
Ind. Claims	2	-	3	=	0	X	42	=				X	84	=		.00
Multiple Dependent Claim						+	140	=				+	280	=		.00
TOTAL																0.00

* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

Application Transmittal
PATENT

Attorney Docket No. 004344-294-CIP

Fee payment being made:

<input type="checkbox"/> Enclosed	<input checked="" type="checkbox"/> Charge to Deposit Account No. 06-0923		
<input checked="" type="checkbox"/> Filing Fee	\$537		537.00
<input type="checkbox"/> Recording Assignment : 37 CFR 1.21(h)	\$.00
<input type="checkbox"/> Publication Fees	\$		0.00
Total Fees:			\$537.00
<input type="checkbox"/> A check in the amount of \$0.00 to cover filing fee and assignment recordation fee is enclosed.			

Priority

- ☐ Priority of application Country , Appln. No. , filed
- ☐ Certified Copy of Priority Document Country , Appln. No. , filed
s
☐ is/are attached ☐ will follow ☐ has been filed in the parent application S/N
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17 and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 06-0923. Two copies of this sheet are enclosed.

Dated: August 1, 2003

GOODWIN PROCTER LLP

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New York, NY 10022

BY: 
William C. Hwang

Enclosures

PTO Registration No.: 36,169